



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:)
Mark J. STEFIK, <i>et al.</i>) Examiner: Unassigned
)
Application No.: 10/773,306) Group Art Unit: 2131
)
Filed: February 9, 2004)
)
For: SYSTEM FOR CONTROLLING THE) Confirmation No.: 6652
DISTRIBUTION AND USE OF DIGITAL)
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United States Patent and Trademark Office
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Sir:

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97 (b)

In accordance with the duty of disclosure as set forth in 37 C.F.R. §1.56, Applicants hereby submit the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98. The references listed on the attached PTO-1449 forms have been made of record in related application serial number 09/777,966 filed on February 7, 2001, therefore no copies of the references cited are submitted herewith.

It is requested that the accompanying PTO-1449 be considered and made of record in the above-identified application. To assist the Examiner, the documents are listed on the attached form PTO-1449. It is respectfully requested that an Examiner initial a copy of this form be returned to the undersigned.

The Commissioner is hereby authorized to charge any fees connected with this filing which may be required now, or credit any overpayment to Deposit Account No. 19-2380 (111325-127/021100).

Respectfully submitted,

NIXON PEABODY, LLP

By: _____

Carlos R. Villamar
Registration No. 43,224

Date: _____

6/16/05

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 10

Complete if Known

Application Number	10/773,306
Filing Date	February 9, 2004
First Named Inventor	Mark J. STEFIK, et al.
Art Unit	2131
Examiner Name	Not Yet Assigned
Attorney Docket Number	111325-127 (021100)

U.S. PATENT DOCUMENTS

Examiner Initials ¹	Cite No. ¹	U.S. Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US-3,263,158	07/01/1996	Janis	
		US-3,609,697	09/28/1971	Blevins et al.	
		US-3,790,700	02/05/1974	Callais et al.	
		US-3,798,605	03/19/1974	Feistel	
		US-4,159,468	06/26/1979	Barnes et al.	
		US-4,220,991	09/02/1980	Hamano et al.	
		US-4,278,837	07/14/1981	Best	
		US-4,323,921	04/06/1982	Guillou	
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		US-4,529,870	07/16/1985	Chaum	
		US-4,558,176	12/10/1985	Arnold et al.	
		US-4,593,376	06/03/1986	Volk	
		US-4,614,861	09/30/1986	Pavlov et al.	
		US-4,644,493	02/17/1987	Chandra et al.	
		US-4,658,093	04/14/1987	Hellman	
		US-4,713,753	12/15/1987	Beobert et al.	
		US-4,796,220	01/03/1989	Wolfe	
		US-4,817,140	03/28/1989	Chandra et al.	
		US-4,827,508	05/02/1989	Shear	
		US-4,868,376	09/19/1989	Lessin et al.	

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Examiner Initials ¹	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
		0 084 441 EP	07/27/1983	TABS LIMITED		
		0 180 460 EP	05/07/1986	SONY CORPORATION		
		0 332 707 EP	09/01/1989	HONDA GIKEN KOGYO KABUSHIKI KAISHA		
		0 538 216 A1 EP	04/21/1993	TELEVERKET		
		0 651 554 EP	05/03/1995	EASTMAN KODAK CO.		
		0 668 695 EP	08/23/1995	VICTOR COMPANY OF JAPAN LIMITED		
		0 725 376 EP	08/07/1996	SONY CORP.		
		2 136 175 GB	09/12/1984	ATALLA CORP.		
		2 236 604 GB	04/10/1991	SUN MICROSYSTEMS INC		
		0 715 241 JP	06/05/1996	MITSUBISHI CORP.		
		04-369068 JP	12/21/1992	CHIYUUBU NIHON DENKI SOFUTOEUA KK		Abst
Examiner Signature			Date Considered			

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
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				First Named Inventor	Mark J. STEFIK, et al.
				Art Unit	2131
				Examiner Name	Not Yet Assigned
Sheet	2	of	10	Attorney Docket Number	111325-127 (021100)

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		Number - Kind Code ² (if known)			
		US-4,882,752	11/21/1989	Lindman et al.	
		US-4,891,838	01/02/1990	Faber	
		US-4,924,378	05/08/1990	Hershey et al.	
		US-4,932,054	06/05/1990	Chou et al.	
		US-4,937,863	06/26/1990	Robert et al.	
		US-4,949,187	08/14/1990	Cohen	
		US-4,953,209	08/28/1990	Ryder, Sr. et al.	
		US-4,961,142	10/02/1990	Elliott et al.	
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		US-4,999,806	03/12/1991	Chernow et al.	
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		US-5,014,234	05/07/1991	Edwards, Jr.	
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Examiner Initials ²	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴ Kind Code ⁵ (if known)				
		05-268415	JP	10/15/1993	RICOH CO LTD		Abst
		06-175794	JP	06/24/1994	FUJI XEROX CO LTD		Abst
		06-215010	JP	08/05/1994	SONY CORP.		Abst
		07-084852	JP	03/31/1995	HITACHI LTD.		Abst
		07-200317	JP	08/04/1995	TOSHIBA CORP.		Abst
		07-244639	JP	09/19/1995	FUJITSU LTD		Abst
		62-241061	JP	10/21/1987	NEC CORP.		Abst
		64-068835	JP	03/14/1989	RYOICHI MORI		Abst
		WO 01/63528	PCT	08/30/2001	IPDN COPR.		
		WO 92/20022	PCT	11/12/1992	DIGITAL EQUIPMENT CORP.		

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				Filing Date	February 9, 2004
				First Named Inventor	Mark J. STEFIK, <i>et al.</i>
				Art Unit	2131
				Examiner Name	Not Yet Assigned
				Attorney Docket Number	111325-127 (021100)
Sheet	3	of	10		

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		Number - Kind Code ² (if known)			
		US-5,138,712	08/11/1992	Corbin	
		US-5,146,499	09/08/1992	Geffrotin	
		US-5,148,481	09/15/1992	Abraham et al.	
		US-5,159,182	10/27/1992	Eisele	
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		US-5,224,163	06/29/1993	Gasser et al.	
		US-5,204,897	04/20/1993	Wyman	
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		US-5,235,642	08/10/1993	Wobber et al.	
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		US-5,263,157	11/16/1993	Janis	
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		US-5,276,735	01/04/1994	Boebert et al.	
		US-5,291,596	03/01/1994	Mita	
		US-5,301,231	04/05/1994	Abraham et al.	
		US-5,311,591	05/10/1994	Fischer	
		US-5,319,705	06/07/1994	Halter et al.	

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		Country Code ³	Number ⁴ Kind Code ⁵ (if known)				
		WO 93/01550	PCT	01/21/1993	INFOLOGIC SOFTWARE, INC		
		WO 94/01821	PCT	01/20/1994	SECURE COMPUTING CORP.		
		WO 96/24092	PCT	08/08/1996	BENSON, Greg		
		WO 97/48203	PCT	12/18/1997	INTEL CORP.		
		WO 98/11690	PCT	03/19/1998	GLOVER, John J.		
		WO 98/42098	PCT	09/24/1998	CRYPTOWORKS, INC.		
		WO 99/49615	PCT	09/30/1999	MICROTOME		

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Sheet	4	of	10
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Application Number	10/773,306
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First Named Inventor	Mark J. STEFIK, <i>et al.</i>
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		Number - Kind Code ² (if known)			
		US-5,337,357	08/09/1994	Chou et al.	
		US-5,339,091	08/16/1994	Yamazaki et al.	
		US-5,341,429	08/23/1994	Stringer et al.	
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FOREIGN PATENT DOCUMENTS

[illegible]

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		US-5,737,416	04/07/1998	Cooper et al.	
		US-5,745,569	04/28/1998	Moskowtiz et al.	
		US-5,748,783	05/05/1998	Rhoads	
		US-5,757,907	05/26/1998	Cooper et al.	
		US-5,761,686	06/02/1998	Bloomberg	
		US-5,765,152	06/09/1998	Erickson	
		US-5,768,426	06/16/1998	Rhoads	
		US-5,825,892	10/20/1998	Braudaway et al.	
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		US-6,047,067	04/04/2000	Rosen	
		US-6,112,181	08/29/2000	Shear et al.	

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		US-6,115,471	09/05/2000	Oki et al.	
		US-6,138,119	10/24/2000	Hall et al.	
		US-6,157,721	12/05/2000	Shear et al.	
		US-6,185,683	02/06/2001	Ginter et al.	
		US-6,226,618	05/01/2001	Downs et al.	
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		US-6,240,185	05/29/2001	Van Wie et al.	
		US-6,253,193	06/26/2001	Ginter et al.	
		US-6,266,618	05/01/2001	Downs, et al.	
		US-6,292,569	09/18/2001	Shear et al.	
		US-6,301,660	10/09/2001	Benson	
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		US-6,345,256	02/05/2002	Milsted et al.	
		US-6,363,488	05/26/2002	Ginter et al.	
		US-6,389,402	05/14/2002	Ginter et al.	

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				Application Number	10/773,306
				Filing Date	February 9, 2004
				First Named Inventor	Mark J. STEFIK, <i>et al.</i>
				Art Unit	2131
				Examiner Name	Not Yet Assigned
Sheet	8	of	10	Attorney Docket Number	111325-127 (021100)

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		"National Semiconductor and EPR Partner for Information Metering/Data Security Cards" March 4, 1994, Press Release from Electronic Publishing Resources, Inc.	
		Weber, R., "Digital Rights Management Technology" October 1995	
		Flasche, U. et al., "Decentralized Processing of Documents", pp. 119-131, 1986, Comput. & Graphics, Vol. 10, No. 2	
		Mori, R. et al., "Superdistribution: The Concept and the Architecture", pp. 1133-1146, 1990. The Transactions of the IEICE, Vo. E 73, No. 7, Tokyo, JP	
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		Kahn, R.E., "Deposit, Registration and Recordation in an Electronic Copyright Management System", pp. 1-19, August 1992, Corporation for National Research Initiatives, Virginia	
		Hilts, P. et al., "Books While U Wait", pp. 48-50, January 3, 1994, Publishers Weekly	
		Strattner, A., "Cash Register on a Chip may Revolutionize Software Pricing and Distribution; Wave Systems Corp.", pp. 1-3, April 1994, Computer Shopper, Vol. 14, No. 4, ISSN 0886-0556	

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		O'Conner, M., "New Distribution Option for Electronic Publishers; iOpener Data Encryption and Metering System for CD-ROM use; Column", pp. 1-6, March 1994, CD-ROM Professional, Vol. 7, No. 2, ISSN: 1409-0833	
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		Linn, R., "Copyright and Information Services in the Context of the National Research and Education Network", pp. 9-20, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1	
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		Sirbu, M., "Internet Billing Service Design and prototype Implementation", pp. 67-80, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1	
		Simmell, S. et al., "Metering and Licensing of Resources: Kala's General Purpose Approach", pp. 81-110, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1	
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		Griswold, G., "A Method for Protecting Copyright on Networks", pp. 169-178, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1	

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		Nelson, T., "A Publishing and Royalty Model for Networked Documents", pp. 257-259, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1	
		Robinson, E., "Redefining Mobile Computing", pp. 238-240, 247-248 and 252, July 1993, PC Computing	
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		Henry H. Perritt, Jr., "Technological Strategies for Protecting Intellectual Property in the Networked Multimedia Environment", April 2-3, 1993, Knowbots, Permissions Headers & Contract Law	

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